

Doc. 1
1/27/20
briefing

NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION

Division of Management and Budget Services

625 Broadway, 10th Floor, Albany, New York 12233-5010

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WWW.DMBS.NY.GOV

Ms. Judith Enck
Regional Administrator
U.S. Environmental Protection Agency
Region 2 Office
290 Broadway
New York, New York 10007-1866

FEB 24 2016

Attention: Mr. Roch Baamonde, Chief
Grants & Audit Management Branch

Re: New York Clean Water State Revolving Fund
Capitalization Grant for FFY 2016

Dear Ms. Enck:

Enclosed for your review and approval is a revised application for a Capitalization Grant for New York's Clean Water State Revolving Fund (CWSRF) Program submitted October 2, 2015. The revised budget includes the FFY 2016 allocation based on the final FFY 2016 budget.

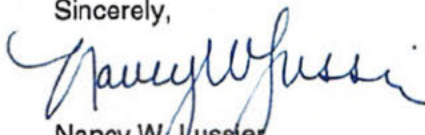
The revised application requests **\$147,479,000** in FFY 2016 CWSRF funding. These funds will be used to provide low interest financings and additional subsidization to eligible recipients for water quality protection projects.

Through the revised budget, New York State requests \$9,502,000 of the capitalization grant for administrative purposes. This amount represents 0.2 percent of the CWSRF loan program net position.

The State and USEPA are partners in assisting New York's communities and not-for-profit organizations in preventing or abating water pollution problems. The continued cooperation that has been evidenced in the past will help assure the continued success of our mutual efforts.

We appreciate your efforts to review and award this grant application in a timely manner. If you have any questions about this application, call Bill Brizzell or David Bradley of the NYS Environmental Facilities Corporation (EFC) at 518-402-7396.

Sincerely,



Nancy W. Lussier
Director of Management and Budget

Enclosures: a/s

c: Mr. Pabst, USEPA - Region 2
Mr. Vida, USEPA - Region 2



bc w/encl. (electronic):

File Copy through Brizzell

S. Ty

T. Burns

D. Bradley

M. Malinoski

D. Bullinger

N. Lussier

M. Giovannone

Application for Federal Assistance SF-424*** 1. Type of Submission:**

- ☐ Preapplication
☒ Application
☐ Changed/Corrected Application

*** 2. Type of Application:**

- ☐ New
☐ Continuation
☒ Revision

*** If Revision, select appropriate letter(s):**

E: Other (specify)

*** Other (Specify):**

Final Allocation

*** 3. Date Received:**

Completed by Grants.gov upon submission.

4. Applicant Identifier:**5a. Federal Entity Identifier:****5b. Federal Award Identifier:****State Use Only:****6. Date Received by State:****7. State Application Identifier:****8. APPLICANT INFORMATION:***** a. Legal Name:** NYS Department of Environmental Conservation*** b. Employer/Taxpayer Identification Number (EIN/TIN):**

14-6013200

*** c. Organizational DUNS:**

8067809120000

d. Address:*** Street1:**

625 Broadway

Street2:*** City:**

Albany

County/Parish:*** State:**

NY: New York

Province:*** Country:**

USA: UNITED STATES

*** Zip / Postal Code:**

12233-5022

e. Organizational Unit:**Department Name:**

NYSDEC

Division Name:

Water

f. Name and contact information of person to be contacted on matters involving this application:**Prefix:**

Mr.

*** First Name:**

Timothy

Middle Name:

P.

*** Last Name:**

Burns

Suffix:**Title:** Director of Engineering and Program Mgmt**Organizational Affiliation:**

NYS Environmental Facilities Corporation

*** Telephone Number:**

518-402-7396

Fax Number:

(518) 402-6954

*** Email:**

timothy.burns@efc.ny.gov

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

Environmental Protection Agency

11. Catalog of Federal Domestic Assistance Number:

66.458

CFDA Title:

Capitalization Grants for Clean Water State Revolving Funds

*** 12. Funding Opportunity Number:**

EPA-CEP-01

* Title:

EPA Mandatory Grant Programs

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

Capitalization Grant to provide funds for the New York State Clean Water State Revolving Fund Program established pursuant to Title VI of the Clean Water Act.

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="147,479,000.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="29,495,800.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="176,974,800.00"/>

* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?

☒ a. This application was made available to the State under the Executive Order 12372 Process for review on

☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.

☐ c. Program is not covered by E.O. 12372.

* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)

☐ Yes ☒ No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. "By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

☒ ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:
 Middle Name:
 * Last Name:
 Suffix:

* Title:

* Telephone Number:

Fax Number:

* Email:

* Signature of Authorized Representative:

* Date Signed:

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1) CWSRF Projects 2016	(2) DEC Admin 2016	(3) EFC Admin 2016	(4)	
a. Personnel	\$	482,091.00	4,238,648.00	\$	4,720,739.00
b. Fringe Benefits		258,364.00	2,154,303.00		2,412,667.00
c. Travel			17,147.00		17,147.00
d. Equipment			98,559.00		98,559.00
e. Supplies			16,667.00		16,667.00
f. Contractual			378,529.00		378,529.00
g. Construction					
h. Other	137,977,000.00		85,458.00		138,062,458.00
i. Total Direct Charges (sum of 6a-6h)	137,977,000.00	740,395.00	6,989,311.00		145,706,706.00
j. Indirect Charges		147,480.00	1,624,814.00		1,772,294.00
k. TOTALS (sum of 6i and 6j)	\$ 137,977,000.00	\$ 887,875.00	\$ 8,614,125.00	\$	147,479,000.00
7. Program Income	\$			\$	

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Standard Form 424A (Rev. 7-97)
Prescribed by OMB (Circular A-102) Page 1A

BUDGET INFORMATION - Non-Construction Programs

OMB Number: 4040-0006
Expiration Date: 06/30/2014

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. CWSRF Projects 2016	66.458	\$	\$	\$ 137,977,000.00	\$ 29,495,800.00	\$ 167,472,800.00
2. DEC Admin 2016	66.458			887,875.00		887,875.00
3. EPC Admin 2016	66.458			8,614,125.00		8,614,125.00
4.						
5. Totals		\$	\$	\$ 147,479,000.00	\$ 29,495,800.00	\$ 176,974,800.00

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. <input style="width: 95%;" type="text"/>	\$ <input style="width: 95%;" type="text"/>	\$ <input style="width: 95%; text-align: right; value: 29,495,800.00;" type="text"/>	\$ <input style="width: 95%;" type="text"/>	\$ <input style="width: 95%; text-align: right; value: 29,495,800.00;" type="text"/>	
9. DEC Admin 2016 <input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	
10. EPC Admin 2016 <input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	
11. <input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	
12. TOTAL (sum of lines 8-11)	\$ <input style="width: 95%;" type="text"/>	\$ <input style="width: 95%; text-align: right; value: 29,495,800.00;" type="text"/>	\$ <input style="width: 95%;" type="text"/>	\$ <input style="width: 95%; text-align: right; value: 29,495,800.00;" type="text"/>	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ <input style="width: 95%; text-align: right; value: 147,479,000.00;" type="text"/>	\$ <input style="width: 95%;" type="text"/>	\$ <input style="width: 95%; text-align: right; value: 147,479,000.00;" type="text"/>	\$ <input style="width: 95%;" type="text"/>	\$ <input style="width: 95%;" type="text"/>
14. Non-Federal	\$ <input style="width: 95%; text-align: right; value: 29,495,800.00;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%; text-align: right; value: 29,495,800.00;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>
15. TOTAL (sum of lines 13 and 14)	\$ <input style="width: 95%; text-align: right; value: 176,974,800.00;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%; text-align: right; value: 176,974,800.00;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16. <input style="width: 95%;" type="text"/>	\$ <input style="width: 95%;" type="text"/>	\$ <input style="width: 95%;" type="text"/>	\$ <input style="width: 95%;" type="text"/>	\$ <input style="width: 95%;" type="text"/>	
17. DEC Admin 2016 <input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	
18. EPC Admin 2016 <input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	
19. <input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	
20. TOTAL (sum of lines 16 - 19)	\$ <input style="width: 95%;" type="text"/>	\$ <input style="width: 95%;" type="text"/>	\$ <input style="width: 95%;" type="text"/>	\$ <input style="width: 95%;" type="text"/>	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges: <input style="width: 95%;" type="text"/>		22. Indirect Charges: <input style="width: 95%;" type="text"/>			
23. Remarks: <input style="width: 95%; font-size: small; text-align: left; border: none;" type="text" value="EPC Administrative budget was prorated such that the total administrative costs did not exceed the maximum amount allowable. Please see the Clean Water State Revolving Fund Program FFY 2016 Estimated Administration Budget attached for actual costs."/>					

DIVISION OF MANAGEMENT & BUDGET SERVICES

New York State Department of Environmental Conservation
625 Broadway, 10th Floor, Albany, New York 12233-5010
Phone: (518) 402-9228 • Fax: (518) 402-9023
www.dec.ny.gov

NEW YORK STATE CLEAN WATER STATE REVOLVING FUND FEDERAL FISCAL YEAR 2016 CAPITALIZATION GRANT REVISED APPLICATION ATTACHMENTS

The following attachments to the electronically submitted Capitalization Grant application forms are contained in this PDF:

- EFC CWSRF FFY 2016 Estimated Administrative Budget
- DEC CWSRF FFY 2016 Estimated Administrative Budget

The following documents will be submitted under separate cover









- Attorney General's Certification
- MBE/WBE Utilization under Federal Grants, etc. (EPA form 5700-52A) – Submitted under separate cover quarterly as required

**CLEAN WATER STATE REVOLVING FUND PROGRAM
FFY 2016 ESTIMATED ADMINISTRATION BUDGET
Revised 2/2/16**

CWSRF Loan Program	
Total Net Position	.2%
4,751,448,305	9,502,000

FFY 2016 Projected Expenses Category	Total Eligible Administration	Total Fundable Eligible Administration Cost
Personal Service	6,180,000	4,238,648
Fringe Benefits (50.83%)	3,141,000	2,154,303
Supplies & Materials	24,300	16,667
Travel	25,000	17,147
Equipment Purchase & Maintenance	143,700	98,559
Contractual		
Consultants	525,000	
Miscellaneous Contractual	26,900	378,529
Other		
Postage	8,800	
Printing	4,800	
Training & Conferences	17,100	
Telephone	67,500	
Insurance	13,900	
Books & Journal	12,500	85,458
Total Direct Expenses	10,190,500	6,989,311
Indirect Costs (25.42%)	2,369,000	1,624,814
EFC Expenses	12,559,500	8,614,125
DEC Grant Draw Expenses	887,875	887,875
Total Expenses	13,447,375	9,502,000

Anticipated DEC CWSRF Personnel Budget for FFY 2016

PROGRAM	EMPLOYEE	TITLE	SALARY BASE	FRINGE BENEFITS	INDIRECT	TOTAL COST
				53.58%	4.42% 27.37%	
SRF- ADMINISTRATION	HAMMER, ROBERT MAGEE, RONALD	ENVIRNL PROGRAM SPEC 1 ENVIRNL ENGINEER 2				
TOTAL - SRF ADMINISTRATION			\$156,516.00	\$83,861.28	\$10,624.68	\$251,001.96
SRF - WATER	BRAYMER, SCOTT TARRIER, BRENNAN ADELUGBA, DARE RINK, RICHARD	ENVIRNL ENGINEER 2 80% ENVIRNL ENGINEER 1 ENVIRNL ENGINEER 2 ENVIRNL ENGINEER 2				
TOTAL - SRF WATER			\$325,575.00	\$174,443.09	\$136,854.95	\$636,873.04
GRAND TOTAL			\$482,091.00	\$258,304.37	\$147,479.63	\$887,875.00
			Indirect Rate for Staff assigned to EFC		4.42%	
			Indirect Rate for other DEC staff		27.37%	
			Fringe Rate		53.58%	